

INNOVATIONS AND CHALLENGES TO CIVIL SOCIETY ORGANISATIONS ADDRESSING THE ENABLING ENVIRONMENT FOR WASH SERVICES FOR THE POOR- A LEARNING PAPER

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PURPOSE AND INTRODUCTION

This learning paper reflects on recent civil society organisation (CSO) experiences in engaging with the 'enabling environment' for WASH services for the poor. It draws on a series of monitoring trips conducted by the Monitoring Review Panel (MRP) of the Civil Society Water, Sanitation and Hygiene Fund during 2011.

The 16 monitoring trips that form the basis for this paper cover just a subset of the 44 activities under the Fund and hence are not representative of the Fund as a whole. This document is intended to reflect learning from these trips back to all Fund participants, rather than provide a representative overview of the Fund's overall contributions to the enabling environment, which will occur later as part of completion reporting of the Fund in 2012.

As part of the monitoring trips, the panel members gave specific focus to how participating Civil Society Organisations (CSOs) were engaging with government, with other local institutions and with private sector. That is, how CSOs were engaging with the 'enabling environment' for WASH services for the poor. This paper reflects on the innovations and challenges observed through these monitoring visits and is written to prompt further thought and evolution of CSO approaches to work strategically in the WASH sector.

This paper uses a conceptual framework for CSO strategy described in the Fund's Independent Progress Report (IPR) of February 2011. This 'strategy map' was originally developed by the International Development Research Centre (IDRC) and was adapted by the MRP to consider WASH sector interventions to visualize and explore the diversity of CSO approaches within the Fund (see Figure 1 below and see Annex 1 for full strategy map). In this paper we focus on the three types of strategies aimed at engaging with the 'enabling environment', including causal, persuasive and supportive strategies. Under each of these types, we present experiences, innovations and challenges of those CSOs visited during monitoring trips.

<i>Strategy</i>	<i>Causal</i>	<i>Persuasive</i>	<i>Supportive</i>
	<i>I-1</i>	<i>I-2</i>	<i>I-3</i>
<i>Focused on a particular individual or group</i>			
	<i>E-1</i>	<i>E-2</i>	<i>E-3</i>
<i>Focused on the enabling environment</i>			

Figure 1: Outline of structure of strategy map (IDRC, 2002), and the focus of this paper on those that engage with the enabling environment

CAUSAL STRATEGIES TO INFLUENCE THE ENABLING ENVIRONMENT

Description of causal strategies as they relate to the enabling environment (drawn from the IPR):

Causal strategies are about engaging in policy dialogue on specific issues, directly causing changes in incentives, rules or guidelines; playing an advocacy or social accountability role.

Characteristic activities in this Fund: Lead lobby or mobilise community members to advocate rights of the poor, gender sensitive policy, promote improved WASH governance

The sections below describe CSO experiences and related questions and lessons from monitoring trips in:

- advocacy to support sustainable community governance
- advocacy for WASH services for the poor
- influencing national policy
- influencing the enabling environment for latrine upgrading in the use of CLTS

ADVOCACY AND MODELS TO SUPPORT SUSTAINABLE COMMUNITY GOVERNANCE

Whilst there is growing recognition of the limits of community management in WASH services, and the need to move towards professionalised service delivery, in the short-term it is likely that various forms of community governance will remain an important feature of WASH service provision, particularly in rural areas. One example below provides insight into the important role CSOs can play in raising citizen voice to ensure appropriate support is provided to community governance systems. The other example demonstrates a CSO's role to assist in movement along the trajectory towards professionalised service delivery that works closely with a community-based organisation to deliver services to the poor.

Timor-Leste decree law states that communities are responsible for operating and maintaining their own water system. It is widely acknowledged however, that many community water user groups need additional support and to this end WaterAid has established a Federation of GMFs (water user groups) in one of its target locations in Timor-Leste. During the monitoring visit, the MRP met with a newly established Federation who described the assistance they had provided to GMFs including: (i) additional training in GMF management; (ii) establishing rules for defaulters; actively promoting the participation of women in GMFs; and in some cases, (iii) facilitating the restructuring of the GMF. WaterAid's longer term objective is to support the Federation to develop into an organisation that can amplify the voice of GMFs in the region and represent the interests of communities to government. WaterAid's initiative to increase citizen voice and action through the formation of GMF Federations merits closer study and reporting and the MRP recommended that WaterAid should facilitate a structured process for review and reflection of the approach with key stakeholders, including government. The AusAID funded Timor-Leste Rural Water Supply and Sanitation Program has indicated strong willingness to participate in this review process.

The governance of community WASH facilities and services frequently falls to volunteers. It is well established that while volunteers do valuable community work, the human reality that motivation and commitment wane over the medium to long term presents a persistent challenge. In Africa's largest slum—Kibera in Nairobi, Kenya—Water and Sanitation for the Urban Poor (WSUP) is experimenting with ways to tackle this challenge. WSUP is establishing a model of community oversight of a delegated commercial model of WASH service delivery. A representative 'Neighbourhood Committee' engages commercial operators to manage shared community ablution blocks that deliver a range of integrated WASH services (e.g. water supply, bathing facilities, toilets, laundry facilities, sludge dumping etc.) (see Figure 2 showing facilities construction).

The rationale is that a commercial service provider will overcome many of the shortcomings of pure community volunteer led WASH services models. The commercial operators will be accountable to the Neighbourhood Committee for meeting agreed service standards as the basis for payment. In turn, community members will pay the Neighbourhood Committee user fees to cover the cost of receiving a higher



Figure 2: Construction of WASH facilities in Kibera slum, Nairobi, supported by WSUP

standard of reliable WASH services. The success of the model is contingent on the ongoing viability and authority of the Neighbourhood Committee. While there is early evidence of good progress and success, already there are signs that volunteer members of the Neighbourhood Committee are experiencing fatigue and have expectations of reward or remuneration. WSUP is working with the various stakeholders to see if committee members can receive appropriate honoraria for their time and effort on behalf of the community; however, caution must be exercised to ensure that this does not result in excessive costs for households, which would render the whole model unviable.

Community governance often sits outside of government structures. For instance rarely do water user groups have legal status or formal connections with government and there can be a related lack of clarity around responsibilities. These observations point to the importance of a potential CSO role to influence governments at a national level to formally recognise community-based WASH organisations as it is difficult for CSOs to establish sustainable community governance structures at grass roots levels without this national level government support. Equally, when CSOs demonstrate new innovative models, including those around management or governance, there is an imperative for CSOs to devote effort and resources to ensure such innovations are soundly tested for their effectiveness, and if successful, are well communicated to target audiences, particularly government.

ADVOCACY FOR WASH SERVICES FOR THE POOR

CSOs can play a pivotal role in advocating for the needs of the poor. One example below describes how a CSO is developing a workable model for provision of services for the poor, and experiences a tension between the need to work with government to provide these services, and yet at the same time to actively challenge government and leaders in advocating for the rights of the poor and lack of investment in services for them. The second example explains how a CSO has taken an active voice at regional and national level to advocate against ineffective methods to provide access to water for the poor. The final example is from an urban setting and describes the importance of the CSO role in advocating for the rights of the poor in slums.

CARE in Maputo, Mozambique, is partnering with WSUP to deliver community-managed WASH facilities in dense urban slums. These facilities foster clear benefits for target households, and early evidence suggests that the management and governance arrangements may be sustainable. However, from a wider standpoint, the number of improved facilities or services represents a very small response to the wider need. At the heart of the problem is low prioritisation of WASH services in poor communities by government authorities. CARE works closely with relevant government representatives to secure land for WASH facilities, and to ensure compliance with government technical standards. CARE has also been able to apply some pressure to improve government investment in WASH services. However, a difficult tension arises between the need to maintain

positive working relationships with government, and the wider need to advocate and lobby against minimal investment in poor communities.

Government relief in Kenya is a long-running highly politicised subject. Government authorities are reticent to step away from food and water relief, even though they are widely criticised for being inefficient, inequitable, unsustainable and fraught with corruption. CARE is operating in Garissa, a semi-arid region of northern Kenya (see Figure 3) that is highly drought-prone and a major recipient of government relief in the form of water carting. It is widely believed that water carting businesses benefit from lucrative government contracts, obtained by dubious means. Funds spent on this short-term and piecemeal response could be employed to establish more sustainable sources of water. CARE is an active voice at national and regional level in advocating for the cessation of water carting, and for increased systematic government investment in WASH services that will provide the poor with more equitable and sustainable solutions.



Figure 3: Water tank and roof catchment system at a school in Garissa, Kenya, supported by CARE

WaterAid have been active in informal settlements in Dhaka, Bangladesh over a period of many years, working consistently and patiently towards ensuring access to legal water supply for the poor, in place of paying high prices for illegal water connections of variable quality and quantity. This work, which preceded the CS WASH Fund, has ultimately led to the establishment of a protocol whereby community-based organizations (CBOs) within slums can apply to gain legal access to water. Using this protocol, a CARE/WSUP activity in the Fund is working to secure access to the poor in Kalshi Slum, by assisting the formation of the required CBOs, providing support for the application process and providing financial support for some of the infrastructure required. On-going efforts are being undertaken by all CSOs (WaterAid, CARE, WSUP and others) to continue to improve and progress the mechanisms and processes for the poor to secure and manage on-going legal water access.

These examples demonstrate how CSOs can play pivotal roles in raising the voice of the poor with other sector actors. In other sectors (eg health, education) there has been a shift towards adopting these kind of social accountability approaches to basic service provision. There is room for CSOs to continue to adapt and explore this role further in the WASH sector, in both urban and rural settings.

INFLUENCING NATIONAL POLICY

Some CSOs either had influencing national policy as one of their original areas of focus, or found during their activity that they saw value in sharing findings or models towards influencing national policy. Some have been successful in exerting influence while others have met with challenges in complex policy environments.

SNV in Vietnam originally introduced CLTS to Vietnam on the request of the government, and through their activity in the far north-west provinces dominated by ethnic minorities, have continued to demonstrate effective use of the approach at scale (throughout a whole district) through government systems. Engagement by SNV both directly in the provinces and also through many fora at national level has given exposure to the approach and the results achieved. SNV has also built the capacity of a cadre of CLTS facilitators at national level who are able to continue to lead facilitation. These efforts, plus the more recent ones of UNICEF and

Plan, have led to strong support for use of the approach by the Ministry of Health in the upcoming national WASH program (National Target Program Phase 3).

Plan has also had success in gaining endorsement of the CLTS approach in Kenya. Plan demonstrated strong leadership and effective lobbying in the WASH sector, resulting in the formal adoption of CLTS by the Government of Kenya, including the setting of a national target of achievement of national open defecation free (ODF) status in rural areas by 2015. Plan has worked closely at all levels of government to pilot, demonstrate and then scale-up CLTS. There is now a strong base of CLTS facilitators throughout government offices and within communities. Plan is now revisiting previously triggered villages to develop a more nuanced appreciation for the post-triggering dynamics and to explore ways of ensuring sustainability.

East Meets West Foundation (EMWF) have trialled an innovative output-based approach to building private sector capacity and providing services at much reduced costs as compared with government provision of services. For example in Tien Giang, a Department of Agriculture and Rural Development (DARD) representative indicated that EMWF:

“have proved that working with the private sector for water supply works well, that quality of construction is good because the company owns the asset and manages the contracting process for construction themselves, and because it reduces the cost of connection: from 1-1.5mVND/household connection to 250,000-400, 000 VND/household using an output-based aid mode”.

And the provincial level agency responsible for WASH infrastructure in rural areas (CERWASS) also reported that the approach was successful because it *“increased the number of users since private sector have incentives to have the largest possible coverage”*

EMWF have exposed national stakeholders to the model through a stakeholder workshop and other dialogue, however achieving adoption and scale-up of the model was found to require further efforts and policy dialogue. Vietnam has a ‘socialisation’ policy which promotes the growth of private sector, however there are barriers to direct replication of the approach elsewhere in Vietnam due to both construction standards and cost norms (which are higher than market solutions), and the fact that government budgets cannot be directly provided to private enterprises in the way that EMWF fund’s have subsidised private enterprise engagement. This example demonstrates the challenges of working in a complex policy environment and the need for engagement at multiple levels. In this example AusAID is now looking to trial the approach with the government water and sanitation provider, Centre for Rural Water Supply and Sanitation (CERWASS), rather than the private sector, in an effort to further test the model within existing policy limits. It is also possible that in the future AusAID could seek to take up the issue in policy dialogue at national level with EMWF’s support.

INFLUENCING THE ENABLING ENVIRONMENT FOR LATRINE UPGRADING IN CLTS

The following discussion is written to highlight the need for efforts to (i) improve how CSOs or governments use CLTS and proactively support movement from a temporary (potentially unhygienic) latrine to a more robust, hygienic latrine; and (ii) generate a strengthened evidence base on the effectiveness of CLTS to share with policy-makers. As discussed above, the spread of CLTS throughout many countries is occurring at a rapid pace. Yet both in activities under this Fund, and in other experiences of using CLTS, there remain questions about efficacy and long-term sustainability of the approach. There also remain questions about how to best adapt and evolve the approach to support upgrading to protect human and environmental health. In some locations this may involve, in a considered way, relaxing the ‘no-subsidy’ rule that is a core part of the original conception of the CLTS approach.



Figure 4: CLTS triggering can evoke powerful emotions of shame and disgust (Kilifi District, Eastern Kenya, supported by Plan.)

[later] there is the same 100 latrines. It's completely different now when we do promotion. Now people replicate".

There are however significant challenges to improving access to sanitation through this non-subsidy approach that require further evolution in thought and strategy by CSOs and governments. Experiences in Timor-Leste for example, indicate that poorly constructed latrines built after a CLTS triggering event can collapse and lead to people returning to open defecation. During the MRP visit to Oxfam's activity in Timor-Leste, a village leader raised the need for outside assistance to construct latrines: *"This year we built toilets but they won't last. We need help to build proper toilets, particularly old people who have no money and are unable to build a toilet for themselves".*

In Vietnam, the Centre for Preventive Medicine (the agency responsible for sanitation at provincial level) staff made a similar observation that *"people changed behaviour, but 60% are below the poverty line and just built temporary latrines using bamboo and in 6 months they will need a new one. If they have to constantly rebuild they may get tired of this"*. The Centre for Preventive Medicine suggested that smart, careful use of subsidies (for instance after a community has reached open defecation free (ODF) status) might solve this, without undermining the empowerment and change process, which indiscriminate use of subsidies does (see Figure 5).

Plan in Kenya has shown strong leadership in experimenting with and scaling up CLTS. It has now been adopted as national government approved approach and there is policy commitment to achieving ODF in rural Kenya by 2013. While the approach has demonstrated value in raising awareness among community members and provoking action, questions remain about the extent to which motivation can be sustained over the longer term. Plan is planning to revisit communities that were triggered in 2007 to develop a deeper appreciation for the dynamics of success beyond 'triggering'.

The use of CLTS in many locations visited by the MRP has produced fast and effective initial results (see Figure 4), including by SNV, Plan, WaterAid and Oxfam. In Vietnam, SNV's government health partners made strong observations about how the CLTS approach demonstrated rapid uptake and motivation by people as compared with previously used subsidy approaches (that occurred without significant communication/promotion). The Centre for Preventive Medicine (CPM) reported *"In the past it is our task to work on sanitation and hygiene but before SNV came our staff just went to community level and left a leaflet. In the past for example in 1 year we built 100 latrines with a subsidy. In 1-2 years*



Figure 5: of The Department of Health's Centre for Preventive Disease and the Women's Union are partners in SNV's Vietnam sanitation and hygiene program in Dien Bien in far north-west Vietnam.

Finally, as mentioned above, monitoring trips revealed several cases where latrines that had been built by community members were temporary, often uncovered, and likely to disintegrate during rain events. These conditions raise a question about the public health and environmental implications of the CLTS approach in certain contexts, particularly since there is clearly a phase prior to upgrading in which unhygienic latrines may be bringing faeces closer to homes and living areas. This question has also been raised in other recent reports on CLTS¹² but remains unresolved and in need of further research.

All of these examples demonstrate the need to continue to evolve and adapt the CLTS methodology, and the need to apply effort to support the enabling environment towards upgrading of latrines after initial ODF status is reached, recognising that the drivers and barriers to upgrading will vary between contexts and cultures.

PERSUASIVE STRATEGIES TO INFLUENCE THE ENABLING ENVIRONMENT

Description of persuasive strategies as they relate to the enabling environment (drawn from the IPR):

Persuasive strategies involve dissemination of information widely to a broad audience; creation of a persuasive environment for a specific behaviour or attitude; and conducting workshops and conferences.

Characteristic activities in this Fund: Conduct large-scale hygiene campaigns, use mass-media to share messages, celebrate global WASH days, document and share learning or new evidence with a broad audience.

The sections below describe CSO engagement in:

- hygiene promotion at scale
- sanitation promotion at scale through social movements
- celebration of WASH days
- sharing of evidence with a broad audience

HYGIENE PROMOTION CAMPAIGNS AT SCALE

The MRP visited a large-scale hygiene campaign conducted by WSUP and CARE in two locations: Bangladesh (Dhaka) and Kenya (Nairobi). This campaign involved working with Unilever/Lifebuoy Soap to develop materials and facilitate sessions in about 80 schools in Nairobi and more than 357 schools in Dhaka. Celebrities were used to promote the campaign, which centres on the “School of five” – the five important times for handwashing (see Figure 6). Activities include songs, drama and practical hand-washing demonstrations. Take home resources are provided such as comics and an enrolment card to secure commitment from friends and family to ‘school of five’ practices. The campaign approach was working at scale and clearly affecting a large

¹ A recent WaterAid publication notes that “if a person cannot afford to build a latrine that conforms to public health standards, the alternative is to build one that constitutes a risk to health and/or safety. This kind of ‘fixed open defecation’ facility can be more dangerous to health and likely to spread disease than open field defecation which at least keeps the excreta at some distance from the home” (p6: WaterAid, 2011, Revitalising Community-led Total Sanitation- A process guide, Written by Ada Oko-Williams and Joe Lambongang with Nick Bundle)

² A Steps Centre report notes that “In parts of rural Bangladesh, IDS research found that simple pit latrines often collapse due to floods and because of financial constraints, they are never rebuilt. There is thus a trade-off between the ladder approach and sustainability issues. It is necessary to assess the long-term impacts of technologies and technology enhancement on groundwater, disease vector transmission routes, and waste disposal, and gain more knowledge on the possible threats of contamination. With respect to disease ecology, accumulating faeces in one place may alter transmission routes of disease pathogens and hosts, such as helminths and hookworms.” (p10: Movik, S and Mehta, L., 2010, The Dynamics and Sustainability of Community-led Total Sanitation (CLTS): Mapping challenges and pathways), Working Paper published by Steps Centre)

population of children. However from the perspective of working with the enabling environment, there remains opportunity to engage more systematically with the education authorities to embed such hygiene promotion into the school system more widely.



Figure 6: Handwashing activation event, Uhuru Gardens Primary School, Nairobi

SANITATION PROMOTION AT SCALE THROUGH SOCIAL MOVEMENTS

Influencing the wider context regarding attitudes to sanitation is critical to reaching scale. In Nepal both SNV's and their local non-governmental organisation (NGO) partners' approach to sanitation was towards cultivating a 'social movement' that focused on raising widespread awareness and action on sanitation rather than acting simply as a more typical aid 'project'. Communication and promotion strategies for sanitation included rallies and cultural programs observed during the visit (see Figure 7 below) as well as use of local radio.



Figure 7: Rally and gathering taking place as part of community led total sanitation efforts in Chinnchu, Nepal

SNV have also played a regional facilitation role on sanitation and hygiene through a project component on governance. Their work included strengthening around thirty different multi-stakeholder platforms for WASH at village, district and regional levels. These multi-stakeholder platforms are part of what has led to the sense of a 'social movement' through their work, since they involve both actual WASH committees but also garner the support of other stakeholders including journalists and members of different political parties in collaborative work on sanitation. Leaders and journalists are then in the position to advocate and shift the priority of and focus on sanitation.

CELEBRATION OF WASH DAYS

A number of CSO activities are supporting global WASH days, with a view to influencing more widely attitudes to water, sanitation and hygiene. In Timor-Leste for example, both WaterAid and Oxfam actively support the government to celebrate Global Handwashing Day and World Toilet Day to promote healthy hygiene and

sanitation practices, especially amongst school-aged children. As part of the 2011 International Women's Day celebration, WaterAid also organised activities to support the World Walks for Water Campaign.

SHARING INFORMATION WITH A BROAD AUDIENCE

Several CSOs reported how they had shared findings from their work with a broad audience through workshops or other media. Below we describe some examples, and the challenge will be to assess the impact of these kinds of information-sharing activities on the sector to generate insight into what kinds of investments in this area are most strategic.

SNV has a dedicated regional learning activity as one component of their work. Through this component, SNV has brought together sector stakeholders and SNV staff from across five countries in a series of workshops. One government staff member in Nepal reported how he had attended such a workshop focused on monitoring and evaluation and was interested in considering how the tools developed could be used more widely in government systems.

EMWF conducted a national level workshop to share evidence of the effectiveness of their output-based aid model with other sector stakeholders.

WaterAid in Timor-Leste has regularly shared learning and publications through WASH forums and provided training in WASH approaches (such as CLTS) to other CSOs in Timor-Leste.

In the Pacific, Live and Learn have developed a suite of educational resources that are available to schools, communities, CSOs and governments to improve sanitation and promote hygiene behaviour in the Pacific islands. Further information on these resources is available at www.livelearn.org/resources/wash-resources-guide.

SUPPORTIVE STRATEGIES TO INFLUENCE THE ENABLING ENVIRONMENT

Description of supportive strategies as they relate to the enabling environment (drawn from the IPR):

Supportive strategies involve building partnerships, providing collective support and promoting networking and coordination; also supporting higher levels of government in their role or supporting local research or action networks.

Characteristic activities in this Fund: Initiate multi-stakeholder sector coordination, support sub-national or national planning, support policy and strategy development, support collaboration between private sector and government

Supportive strategies undertaken by CSO activities visited in monitoring trips and described below include:

- improving coordination of demand-side and supply-side work in sanitation
- addressing CLTS in urban or dense environments
- responding to government capacity opportunities and limitations
- ways of engaging private sector

IMPROVING COORDINATION OF DEMAND-SIDE AND SUPPLY-SIDE WORK IN SANITATION

Many CSOs focus strongly on raising demand for sanitation through approaches such as CLTS. A number of the Fund projects monitored to date are also working towards improving the coordination of the demand and supply element of WASH delivery, and reveal useful lessons about what is needed to ensure a coordinated approach, usually involving multiple actors including government and private sector.



Figure 8: Constructing concrete pans that are used with pour flush latrines in Timor-Leste

WaterAid in Timor-Leste is piloting approaches to meet the demand generated by CLTS for affordable, locally available sanitation products including support to local businesses to construct concrete toilet pans (Figure 8). The challenge is to make these products available to communities that are often located in remote, isolated areas. To this end WaterAid is supporting local community kiosks to purchase and supply water system spare parts (taps, T-joiners and sockets) and locally made sanitation products (pour-flush toilet pans). Although currently at small scale, there is potential for scaling up to meet the increased demand for WASH products and services generated by WaterAid's activities in the area.

SNV in Vietnam and SNV Nepal are working on both demand-side (using CLTS through government or local CSO counterparts) and also on the supply chain. The supply chain work consists of an analytical study of the existing supply chain and private sector involvement (and barriers to this) and undertaking targeted activities to improve the availability of sanitation materials to remote areas (see Figure 9 below). One observation from the monitoring trips was that there is a need to think through an appropriate level of investment in and focus on each of demand creation and supply chain development. SNV's work on the supply chain was demonstrating useful approaches to increasing local availability of skills and materials, though not always at the same scale as the demand creation.

Continued efforts to work on both demand and supply in a coordinated way, and at appropriate scales, is critical to CSO approaches to ensure sustained access to and use of sanitation facilities. Efforts by CSOs to facilitate exchange and coordination between the multiple actors involved in supply chains is an important and needed contribution in many contexts.



Figure 9: SNV Vietnam staff member conducting a monitoring interview with a small-medium enterprise newly undertaking sales of sanitation hardware as a result of the program

ADDRESSING CLTS IN URBAN OR DENSE ENVIRONMENTS

It is widely recognized that urban WASH presents a range of challenges that are different from rural contexts where many CSOs traditionally engage. In urban environments, most CSO activities involve multiple local institutional actors, and some form of either capacity building or coordination support.

CLTS was developed in a rural context, and in Kenya, Plan has been at the forefront of promoting CLTS, leading to the adoption of the approach by the Government of Kenya. Plan is currently working with local partners in

Muthare slum, Nairobi, to explore the merits of modifying CLTS for high density urban contexts. Early indications are that the approach has merit, although a range of unique challenges need tackling: i) limited space means it is difficult for ‘triggered’ households to unilaterally proceed with latrine construction; ii) ongoing management of shared facilities is often fraught; iii) sludge disposal presents a complex technical challenge; iv) hygiene factors arising from space/proximity to living quarters.

Plan is also engaging in the use of CLTS in rural Bangladesh in the “haor” affected areas in which people inhabit densely populated areas due to large-scale inundation for the most of the year (see Figure 10). Here the women take a lead role since men are often away seeking employment, and motivation to change behaviour is high. However the logistics of building separate latrines for each family meet similar challenges to those described above for the slums in Nairobi. Development of processes to build and manage communal facilities may be a potential useful adaptation to the use of CLTS for urban or dense environments.



Figure 10: Densely populated areas perched between large areas of inundation in Nikli where Plan Bangladesh is working

Overall there is a need for CSOs and governments to focus more strongly on building collective support when using the CLTS approach in urban or dense areas, bringing in other stakeholders who might need to play different roles to support the supply and the management of communal facilities, and developing viable models for their on-going management.

RESPONDING TO GOVERNMENT CAPACITY OPPORTUNITIES AND LIMITATIONS

It was clear from the breadth of monitoring trips undertaken, that consideration of different contexts and the existing political will, leadership and local institutional capacity strongly affects the chosen strategy for engaging in the enabling environment and the most appropriate role for CSOs to take on within the sector. In some locations it is feasible that government may never be able to provide services, whilst in others there is already a strong enabling environment to work with.

In Pacific nations, such as the Solomon Islands, all sections of government responsible for the delivery of WASH services have difficulties in meeting their duties due to a lack of resources and insufficient coordination. Although significant gains have been made through capacity building assistance provided by a number of donors, it is likely that international CSOs will continue to play an important role in filling service delivery gaps in the rural WASH sector in the foreseeable future. The CS WASH Fund projects visited by the MRP were finding it difficult to establish a “seat at the government table” to influence the broader enabling environment for WASH delivery.

In Timor-Leste, community volunteer Family Health Promoters (PSF) are the cornerstone of the Ministry of Health’s outreach program. Family Health Promoters help communities to manage their own hygiene promotion, improved environmental health activities and activities to improve sanitation at the household level. Reviews of the government’s health outreach program show that the 2,400 PSFs participating in the program require significant mentoring support that is currently beyond the capacity of the government to provide. The program is most effective where CSOs such as Oxfam are providing supportive supervision to the

PSFs. Until the government’s human resource gaps are met, CSO partners will continue to play a valuable role in supporting the implementation of the government’s program.



Figure 11: Jose Mendez, Fundsaun Hadomi Progresu – one of Oxfam’s local NGO partners

CSOs in Timor-Leste are also playing an active role in helping the government to improve WASH planning and coordination. At sub-national level both WaterAid and Oxfam are supporting district government to establish WASH coordination forums. Oxfam is also training local NGOs to apply the government’s community WASH planning approach and the government’s Rural Water Supply Guidelines (see Figure 11). At national level, both organisations actively contribute to the government’s WASH sector planning and monitoring systems and the National WASH forum that is chaired by the National Directorate of Water Supply and Sanitation.

In South Asia and South East Asia, there are many countries with existing government capacity that CSOs are able to work with and strengthen. SNV Vietnam, SNV Nepal and Plan Bangladesh have all aligned their approach to government policies and strategies and are seeking to build up government capacity to implement these. Both SNV and Plan purposefully employ only small numbers of their own staff in their WASH work, and use these to catalyse and support government to play its role. In Nepal, Vietnam and Bangladesh, there exist targets for access to services at local and district level with some accountabilities attached. These provide an important lever for CSOs to work with and assist government to deliver on their targets. In all instances the CSOs have been able to introduce CLTS as a successful approach in mobilizing communities to shift away from open defecation, and thus build government capacity in using this kind of community mobilization technique. As mentioned above however, the need for technical skills, facilitated ways for people to upgrade to permanent latrines and potential public health and environmental impacts of temporary latrines remain areas in need of greater capacity building and attention.

WAYS OF ENGAGING PRIVATE SECTOR

Several CSOs visited were involved in efforts to facilitate the engagement of private sector in various roles within the sector. The examples presented below include small private sector service provision in rural areas, commercial models for provision of WASH services in slums, and CSO’s use of sanitation marketing.

EMWF have built the capacity of 27 private sector companies in the Mekong region through an output-based aid modality, building on similar work in Vietnam’s central region (see Figure 12). Formal training was offered

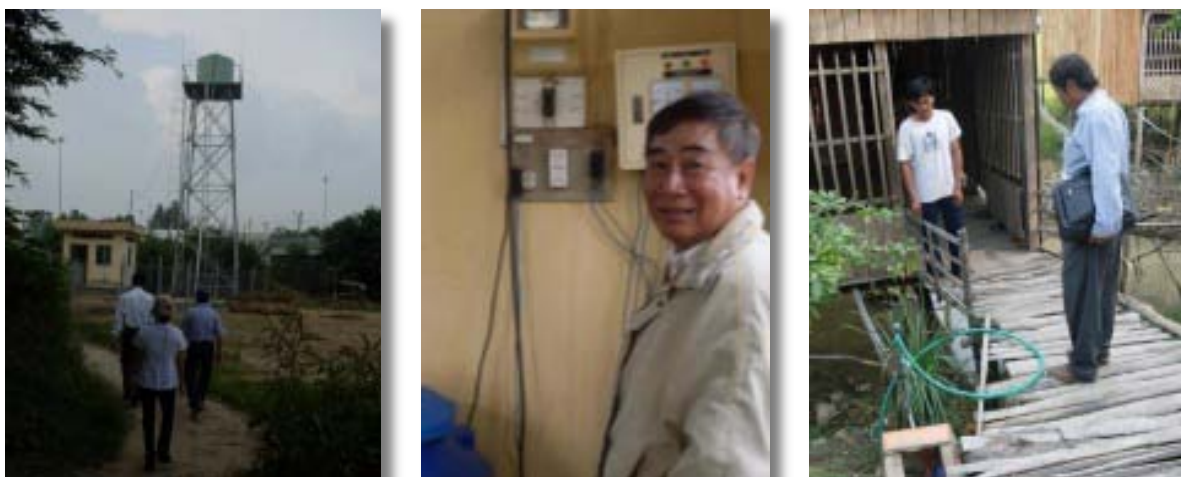


Figure 12: Ba Giau (private sector water company) water supply, owner and beneficiary in Mekong, supported by EMWF Vietnam

to new enterprises selected for inclusion in the program, in addition to on-going mentoring and support. Some weaknesses still exist amongst the private sector and EMWF is investing efforts to discern common strengths and weaknesses and associated ways to address these. In addition EMWF are looking to develop guidance for new private enterprises interested in entering the water sector and would provide a support for replication beyond the current activity, including the design guidelines and training materials.

As outlined earlier (as an example of a model to support community governance) WSUP is experimenting with a 'delegated commercial model' of WASH services in Kibera Slum—a large high density informal settlement in Nairobi, Kenya. Here we focus on the elements related to private sector participation. WSUP has worked with a local trust to mobilize a large representative 'Neighbourhood Committee' concerned with various aspects of community WASH services. Commercial contractors (businesses, individuals or NGOs/CBOs) bid for time-bound contracts to manage shared community WASH facilities on behalf of the Neighbourhood Committee. Contracts explicitly define service quality standards. Households or individuals can access a range of WASH services at the facilities, and pay either a regular membership fee, or on a per use basis. The model relies on contractors recognizing commercial interest in providing good value and high quality WASH services, and households perceiving value in exchange for service fees. The sustainability of the model is contingent on the Neighbourhood Committee members remaining engaged and committed to oversight of the system, including holding the contractor firmly accountable for service quality, and households accountable for honouring payments.

CARE/WSUP in Maputo, Mozambique have established a model of community management of WASH facilities that relies on private sector support. Target households within a defined urban slum catchment are mobilised to form a WASH Committee. Households elect a WASH Service Provider (typically a women located close to the facility) who operates the facility on a private semi-commercial basis. She is issued with a charge card provided by the local commercial water supply company, and pre-pays for a quantity of water to be disbursed to a holding tank. Households then procure quantities of this water from the service provider at agreed rates (usually on a per jerry can basis).

Low sanitation coverage is often attributed to lack of demand; however poor coverage is also due to inappropriate toilet technologies and weak supply mechanisms. Sanitation marketing is an emerging field that applies social and commercial marketing approaches to scale up the supply and demand for improved sanitation facilities, and often involves supporting some form of private sector activity.

The MRP visited a number of projects that are piloting new sanitation marketing approaches, outlined in the examples that follow. In the Pacific, Live and Learn are testing approaches to identify what works and what doesn't in an environment where there are few examples of successful community-based business models. Live and Learn's Solomon Islands project, visited by the MRP, is yet to establish any profitable sanitation businesses – this will take longer and require a number of steps. The work to date indicates that a community cooperative approach where families take responsibility for funding and constructing their own latrines (rather than relying on subsidies) is a positive step towards establishing sanitation enterprises. Live and Learn consider that with further funding they will be able to continue long term engagement with target communities to progressively prepare, test and modify business plans that ensure new business groups are profitable and able to support growth in unsubsidized latrine construction.

Where there are existing enterprises that are willing to expand their business to sanitation products, the outlook is promising. In Timor-Leste, for example, WaterAid is providing existing enterprises with setup and technical support, and moulds to construct concrete pans (used with pour flush latrines) from cement and locally available sand. Key principles underpinning the approach are that: the sanitation enterprise must be profitable; have the opportunity for continued sales over time; and must function without continued subsidies or support from outside organisations. WaterAid has provided startup support to five enterprises in Liquica and to date, two businesses have successfully established a viable sanitation marketing enterprise.

In Garissa, a semi-arid area of northern Kenya, CARE is supporting local tradespersons to develop skills and access materials to ensure that rural communities are able to acquire concrete latrine slabs. Challenges include: i) low demand among semi-nomadic communities for latrines; ii) challenging and expensive access to supply markets; iii) small low-density populations that render sanitation enterprises unviable; iv) questionable sanitation benefits of high-cost latrine infrastructure in hot/dry arid environments. This and the above sanitation marketing examples raise the question as to whether the sanitation marketing approach is only viable under particular conditions that are not always present, and there may be a need to develop alternatives.

These are just some examples of the innovative models to stimulate private sector engagement that CSOs are testing with support from the CS WASH Fund. The work to date is focused on understanding the drivers and impediments to establishing viable WASH enterprises in each local context. Given the experimental nature of this work, it is important that findings (including approaches found not to work) are documented and shared.

CONCLUSION

The monitoring trips revealed a breadth of ways in which CSOs can, and are, engaging in the enabling environment towards provision of WASH services for the poor. These provide inspiration and examples to generate further efforts by CSOs to think broadly about the possible roles they might fulfil in the sector in a given country.

The strategy map gave a useful way of categorising and thinking through the ‘theory of change’ associated with the various ways CSOs are engaging with the enabling environment. Consideration of other conceptual frameworks specifically designed to examine the enabling environment for WASH³ may further assist CSOs to identify and explore potential points of leverage in a given context.

³ For example the WSP “Enabling Environment Assessments” conceptual framework utilised to support assessments of the enabling environment for sanitation, hygiene and handwashing, and the recent WSP “Country Status Overview” (CSO) model that examines the enabling environment in terms of how investment flows through to services and use

ANNEX 1: STRATEGY MAP SHOWING 6 TYPES OF STRATEGIES

Strategy map adapted to describe activities in the CS WASH Fund, based on the original from International Development Research Centre (IDRC)⁴

Strategy	Causal	Persuasive	Supportive
	I-1	I-2	I-3
<i>Focused on a particular individual or group</i>	<p><i>Direct role in facilitation of service delivery by directly building or supplying new infrastructure.</i></p> <p><i>Characteristic activities in this Fund:</i> <i>Provide community, school or public water and sanitation systems as well as some forms of waste disposal and drainage.</i></p>	<p><i>Providing awareness raising, education or specific training to community members or other partners.</i></p> <p><i>Characteristic activities in this Fund:</i> <i>Raise demand, shift specific behaviours or attitudes through hygiene promotion activities, develop workable supply chains. Promote women, social inclusion and equity in WASH.</i></p>	<p><i>Providing frequent, sustained, on-going mentoring and support; or multipurpose capacity building; or developing support structures, committees and networks.</i></p> <p><i>Characteristic activities in this Fund:</i> <i>Use systematic strategies to build the capacity of community-based organisations and WASH user groups, the capacity of local government or service providers, private sector or school teachers or committees.</i></p>
	E-1	E-2	E-3
<i>Focused on the enabling environment</i>	<p><i>Engaging in policy dialogue on specific issues, directly causing changes in incentives, rules or guidelines; playing an advocacy or social accountability role.</i></p> <p><i>Characteristic activities in this Fund:</i> <i>Lead lobby or mobilise community members to advocate rights of the poor and gender sensitive policy, promote improved WASH governance</i></p>	<p><i>Dissemination of information widely to a broad audience; creation of a persuasive environment for a specific behaviour or attitude; and conducting workshops and conferences.</i></p> <p><i>Characteristic activities in this Fund:</i> <i>Conduct large-scale hygiene campaigns, use mass-media to share messages, celebrate global WASH days, document and share learning or new evidence with a broad audience.</i></p>	<p><i>Building partnerships, providing collective support and promoting networking and coordination; also supporting higher levels of government in their role or supporting local research or action networks.</i></p> <p><i>Characteristic activities in this Fund:</i> <i>Initiate multi-stakeholder sector coordination, support sub-national or national planning, support policy and strategy development, support collaboration between private sector and government</i></p>

⁴ Earl, S., Carden, F., and Smutylo, T. (2002) Outcome mapping: Building learning and reflection into development programs, Ottawa, IDRC